

## JOINT INFORMATION SYSTEMS COMMITTEE (JISC)

### INVITATION TO TENDER

#### JISC Programme and Document Repository Business Process and Repository Metadata Definition

##### Introduction

1. The JISC Executive<sup>1</sup> wishes to procure business analysis services to:
  - analyse the current business processes that will be affected by the introduction of a JISC repository, and identify what revised/new business processes are required in order to successfully embed the use of the JISC repository into JISC business processes.
  - Identify the required metadata to be captured by the JISC repository with deposits, to distinguish between mandatory and optional metadata and to identify the metadata structure that is required for the JISC repository implementation i.e. identify a metadata schema for the JISC repository
2. The deadline for proposals is **12 noon on Friday 19<sup>th</sup> March 2010**.
3. It is envisaged that a second phase for short-listed bidders will be required. This will involve a face-to-face interview. Bidders will be notified of the outcome of the first phase of the evaluation process in week commencing **Monday 29<sup>th</sup> March, 2010**.
4. It is expected that interviews for short listed bidders will be conducted **between 6<sup>th</sup> and 9<sup>th</sup> April, 2010**. It is likely that any interview process will include an interview with the project board during this period.
5. The successful bidder will be expected to start work on or around **Monday 12<sup>th</sup> April 2010 (indicative date)**.
6. The deliverables are expected to be delivered on or before **Friday 2<sup>nd</sup> July, 2010**
7. The contract may lead to some additional related work for the successful bidder, if appropriate.

##### Background

###### *JISC structure*

8. The JISC is a joint body of the UK Higher and Further Education Funding Councils. It was established to support the further and higher education sectors in the use of information communications technology (ICT). It does this by providing a network service and by funding ICT development and services that support learning, teaching and research.
9. JISC Executive staff are hosted by three separate organisations and locations and many work flexibly from home and/or travel frequently:
  - Higher Education Funding Council for England (HEFCE) – Northavon House, Coldharbour Lane, Bristol, BS16 1QD
  - University of Bristol - 3rd Floor, Beacon House, Queens Road, Bristol, BS8 1QU
  - King's College London - Brettenham House (South Entrance), 5 Lancaster Place, London, WC2E 7EN.

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<sup>1</sup> <http://www.jisc.ac.uk/aboutus/howweare.aspx>

10. IT support is provided by the host institution on each site.
11. Further information on the JISC structure can be found at <http://www.jisc.ac.uk/aboutus/howweare/structure.aspx>.

#### *Reason for the project*

12. The JISC wishes to commission this work to support the JISC Strategy in one of its key aims which is to improve the targeting and relevance of communication by introducing systems for contact management, project information management and synthesis of programme outputs.
13. JISC's work produces a wide range of publications, images, documentation, software and other electronic resources. With geographically and operationally dispersed infrastructure and staff the resources are stored in a number of different locations including PC hard drives and (web) sites hosted by project teams in Institutions over which JISC has no control. As a result:
  - there is high risk of loss of resources or access to them
  - it is not possible to aggregate outputs from all JISC funded activity in an accessible and searchable manner
  - there is no 'content bank' for JISC's assets (of all formats), or consistent version control nor publication scheme
  - there is no common access to resources across the Executive and by projects
  - there is duplication of effort and overlap in outputs from many projects and services
  - processes, business rules, roles and responsibilities and workflows associated with programme and output management are not distinct or clearly defined
  - there is low participation in data quality and management activities within the Executive.

#### *Current business systems*

##### JISC Control

14. Directory Service – three components: an OpenLDAP installation which provides the directory of users; a JISC IdP (Identity Provider) service which is public-facing and provides JISC's presence in the UK Access Management Federation; local desktop and file-system integration with LDAP, primarily to support JISC PCs in Brettenham House but with the potential for some file-sharing across the Exec. Access to the repository solution should be federated through the Directory Service.
15. Intranet – a Confluence based intranet system providing information to all JISC staff including access to templates and policy documents, PIMS and the CMS. Released in June 2009.
16. JISC Website and Content Management System – the public facing website including information on JISC programmes and projects which is intended to be fed from the information held in PIMS/Repository. Sitecore CMS system. Hosted by external supplier, Eduserv<sup>2</sup>.
17. PIMS (Programme Information Management System) – a MySQL/CakePHP database holding information on all JISC's Innovation programmes and projects and providing management information reporting. It is intended that PIMS will be integrated with, or replaced by the Programme and Document Repository system and the JISC website/CMS.

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<sup>2</sup> <http://www.eduserv.org.uk/>

18. Consultancy database – an access database of contractors and consultants who have conducted market research/evaluation/publication/production work for JISC. Intended to be incorporated into PIMS/JISC Programme and Document Repository solution.
19. JISC Information Environment Repository - designed to promote the dissemination, sharing and storage of JISC repository, preservation and portals and presentation programme outputs by providing open access to project deliverables and other relevant documents. Intended to be integrated with or replaced by the JISC Repository solution.

#### Outside Control

20. JISC funded project registries: e.g. CETIS Prod, OssWatch SIMAL, Strathclyde Resource Discovery Toolkit – systems developed under JISC Innovation projects. Have similar data content to JISC but with different audiences. Data structures and technology varies. Some form of data transfer with JISC information is required.
21. TRIM – electronic document management system used by JISC Executive staff at the HEFCE offices. Holds all core JISC documents. Intended to be integrated with or replaced by the Repository system.
22. CODA - Finance system used by HEFCE. Records details of payments to projects etc. Some of this information is repeated in PIMS.

#### Current Project Position

23. The project scope has been defined and it is expected that the recommended solution will be implemented. The recommended solution is to implement an instance of an EPrints Repository. Further details regarding the project scope, recommended solution and related USE cases are identified in the interim and final reports from the scoping phase (Phase 1) of the JISC Repository project. (These reports are available on request from Tom Howard; email [t.howard@jisc.ac.uk](mailto:t.howard@jisc.ac.uk)).

#### Objective

- Identify and analyse the current business processes that will be affected by the introduction of a JISC repository, and identify what revised/new business processes are required in order to successfully embed the use of the JISC repository into JISC business processes.
- Identify the required metadata to be captured by the JISC repository with deposits, to distinguish between mandatory and optional metadata and to identify the metadata structure that is required for the JISC repository implementation i.e. identify a metadata schema for the JISC repository. The required metadata structure needs to strike the necessary balance between enabling ease of deposit and capturing sufficiently rich metadata to maximise retrievals from the repository, particularly for non textual objects.

#### Nature of the Work

24. This phase of the JISC Repository project will address two of the areas that are critical to the success of the whole project, namely, Business Processes and Repository Metadata. It is essential to get both these areas right in order to implement a repository solution that is actually used. The analysis of these areas should result in the identification of at least the high level requirements of the JISC repository interface.

## 25. Business Processes:

To ensure that the project is successful, it is necessary to embed the usage of the repository into the business processes of JISC. In this phase of the project, the business processes that are affected by the introduction of the repository need to be identified. Where necessary these business processes need to be revised and documented. In other cases new business processes may need to be created and documented. This will involve reviewing relevant business processes with various groups of users and revising or creating new business processes where necessary. Business processes need to be in sufficient detail that they demonstrate how the JISC Repository will be embedded into them. The focus needs to be on the expected interactions with the JISC Repository, although it is noted that the level of detail will be limited by the information available about the proposed solution at the time that the proposed/revised business processes are documented. The identification and definition of these business processes is critical to the successful embedding of repository usage into JISC, and is vital to ensure that repository deposits and usage is maximised.

## 26. Repository Metadata:

To ensure that the project is successful, it is essential to identify the Repository Metadata required, paying particular attention to identifying the right balance of metadata. Too much metadata would prevent users from depositing objects as it would be perceived as too time consuming a process. Too little metadata would encourage deposition, but would make outputs harder to find, thus preventing effective use of the repository.

Identifying the required metadata structure as accurately as possible from the outset is important. This phase is therefore expected to identify an accurate definition of the required metadata structure for the JISC Repository project.

In order to identify the required JISC Repository metadata structure, it is expected that workshops will be carried out with users using a 'paper based' prototyping technique and encouraging the users to play the role of 'depositors' in these workshops. This method is intended to help identify a realistic, but still useful repository metadata structure. If users don't play the role of 'depositors', the concern is that a rich (but overly large) metadata structure would be identified, and that such a structure would be likely to deter depositors from using the repository.

## Deliverables

### 27. The key deliverables are:

- Documented work-plan (JISC and successful bidder)
- A set of Revised/new JISC business processes embedding the use of the JISC Repository into them
- JISC Repository Metadata Schema specification
- A report summarising the JISC Repository interface requirements. This should be based on information gathered as part of the business process and repository metadata analysis and workshops.

## Terms and Conditions

28. JISC's standard terms and conditions of funding can be found at [http://www.jisc.ac.uk/fundingopportunities/bidguide/proj\\_tocgrants.aspx](http://www.jisc.ac.uk/fundingopportunities/bidguide/proj_tocgrants.aspx). Bidders must view these prior to submitting a proposal. The terms and conditions must be followed by all JISC project holders.

29. Any information gathered during the course of the project and not already in the public domain is deemed to be the property of HEFCE, on behalf of JISC and its funding partners. The information provided in the report, and the rights to all other

outputs, shall become the property of HEFCE, on behalf of JISC and its funding partners.

### **JISC Management of Project**

30. The successful bidder will be expected to adhere to good project methodology practices, regular reporting and participation in meetings as appropriate.
31. The supervision and management of the work will be carried out by the Project Manager, Innovation Group, JISC Executive (tel: 020 3006 6031; email [t.howard@jisc.ac.uk](mailto:t.howard@jisc.ac.uk)).
32. The project will be overseen by JISC Executive's Information Management Projects Board.

### **Funding Available**

33. Funding of **£20,000 - £75,000** is available for this piece of work including all travel and other expenses and any VAT applicable. Bidders should ensure they charge VAT for the proposed activity if required; JISC does not recover VAT. VAT should be charged at the applicable rate at the time of bidding; any increases to VAT rates will be honoured by JISC.

### **Costing and Pricing a Proposal**

34. All bids submitted by UK higher education institutions should use the Transparent Approach to Costing (TRAC) methodology in order to cost the activity. Any institutional contribution should be clearly identified. An Example Budget and guidance on the budgetary terms used can be found at **Appendix B** to this document. All costs must be justified. Guidance on costing a JISC bid can be found at <http://www.jisc.ac.uk/fundingopportunities/bidguide/fulleconomiccosting.aspx>
35. Other institutions and organisations submitting bids should use their usual costing and pricing practices but all costs should be clear and transparent, clarifying the number of days each individual working on the activity will provide, in order to assist the evaluators in determining the value for money of a proposal.

### **Structure of Proposal**

36. A guide to tendering for JISC projects can be found at <http://www.jisc.ac.uk/fundingopportunities/bidguide/ittbidguide.aspx>
37. Tenders should include:
  - a completed cover sheet (**Appendix A**). The completed cover sheet will not count towards the page limit;
  - a detailed programme of the work to be undertaken, including a work plan showing key date/milestones and deliverables;
  - short descriptions of key personnel who would work on the activity, including relevant experience and qualifications;
  - an assessment of the risks associated with the work and how these will be managed;
  - In the event of your estimated end date for the deliverables differing from the expected end date of **Friday 2<sup>nd</sup> July, 2010**, then please indicate your estimated end date for the deliverables together with the rationale for the difference and any cost implications. Note: Movement of the expected end date would only be by prior agreement with the Project Manager, Innovation Group, JISC Executive.
  - the total cost and a breakdown of costs across academic years (August - July) including a statement on VAT.;
  - details of two reference sites for whom the bidder has conducted similar work in the past and who would be willing to discuss the project

and their experience possibly including a site visit from members of the selection panel;

- the extent to which the proposed project and/or system would meet JISC's requirements such as they are articulated;
- a covering letter from a senior member of the organisation (Head of Dept. or higher in the case of an FE/HE institution) indicating support for the bid and strategic fit with the organisation/institution remit;
- confirmation of the work start date; and
- contact details of an individual to whom queries and communication about the bid may be directed.

38. Tenders should demonstrate:

- an understanding of JISC's area of work and the need for the project;
- the proposed project methodology, organisation and management controls;
- the proposed approach to business analysis, taking into consideration that this includes the revision and/or creation of business processes both directly for repository interaction and immediately surrounding repository interaction.
- an appropriate mix of skills for the project, including rationale for collaboration in the case of consortia bids;
- previous relevant experience and suitability of the organisation or institution to undertake the project;
- an appropriate outline communication plan for working closely with JISC and other required staff;
- that the risks associated with the project have been considered;
- that the costs are reasonable and justified;
- clear, easy to understand costs for the project, with a clear rationale/breakdown of costs provided.

### Submitting a Proposal

39. The deadline for receipt of submissions is **12 noon on Friday 19<sup>th</sup> March 2010**.

Bids should be sent to Tom Howard ([t.howard@jisc.ac.uk](mailto:t.howard@jisc.ac.uk)). Late proposals will **NOT** be accepted. It is the responsibility of the bidder to ensure that the proposal has arrived by the deadline stated. The header of the email must include the title **JISC Repository Tender**.

40. Tenders should be no longer than 10 single-sides of A4 pages (including the cover sheet and any confidential annex as described above) and should be typeset in Arial or a similar font at a minimum of 11-point size. **Any bids without a cover sheet or that exceed the ten-page limit will be rejected by the Executive prior to the evaluation stage. NO additional appendices should be attached to the bid unless specifically requested in the ITT.**

41. **An electronic copy of the proposal should be received in PDF format by this deadline.** This is an electronic-only submission process, therefore all documentation (including the covering letter) must be submitted in PDF format, **as a single file and in a zipped folder if the size of the file exceeds 10Mb** (note: any files exceeding 10Mb are likely to be returned by the mail server).

42. Notification of acceptance of proposal – The JISC will notify the designated contact person that your Proposal has been received and accepted for evaluation via email.

43. To summarise, a bid will be automatically rejected if:

- a. It is received after the stated deadline;
- b. A cover sheet is not included;
- c. It exceeds the page limit outlined in the tender.

### **Award of Contract**

44. A selection panel will be established to review the bids received. JISC's procedure for evaluating bids can be found at: <http://www.jisc.ac.uk/bideval>.
45. JISC will expect to work with the successful bidder to agree the workplan. The JISC shall determine the profile of payment to the successful bidder(s), once appointed.
46. The JISC shall be under no obligation to accept the lowest, or any tender, and tenderers shall submit offers on the basis of so doing at no cost to the JISC

### **Evaluation Criteria**

47. Evaluation criteria, in no particular order to be used to evaluate the proposals are as follows:
  - completion of all sections of the ITT;
  - the completeness, quality and robustness of the proposal;
  - detailed breakdown of costs, pricing and schedule of rates;
  - commitment to forming value added relationships with JISC staff and any third parties;
  - a full understanding of the specification and suitability of the proposed method to identify and document the required deliverables;
  - the clarity, feasibility and suitability of the proposed delivery outline;
  - the relevance of the previous experience of the bidders;
  - an analysis of risks to successful completion of the Business Process and Repository Metadata definition phase of the project;
  - value for money.

48. The JISC shall be under no obligation to accept the lowest, or any tender, and tenderers shall submit offers on the basis of so doing at no cost to the JISC.

### **Legal Requirements**

49. Potential bidders should be aware that as a public body, JISC is subject to legislation such as the Race Relations Amendment Act, 2000, Equality Act 2006 and the Disability Discrimination Act 2005 (see <http://www.hefce.ac.uk/lgm/divers/>). JISC is also subject to the Data Protection Act 2003 and the Freedom of Information (FOI) Act 2000. JISC requires any potential bidder to be aware of and abide by these regulations.
50. Any information that a bidder considers to be commercial in confidence will need to be put into a separate annex in the tender submission. JISC may still be obliged to make this information available if challenged. All tender submissions other than information in this annex will be deemed to be disclosable under the FOI Act. However, JISC would never disclose any information during the actual tendering process, to avoid any prejudice to this process.

### **Further Information**

51. General enquiries about this tender should be addressed to Tom Howard (email: [t.howard@jisc.ac.uk](mailto:t.howard@jisc.ac.uk); tel: 020 3006 6031).
52. Enquiries regarding the submission of responses should be addressed to Tom Howard (email: [t.howard@jisc.ac.uk](mailto:t.howard@jisc.ac.uk); tel: 020 3006 6031).

## Appendix A: Cover sheet

Cover sheet for proposals

JISC Invitation to Tender:

*(NB: All sections must be completed)*

**JISC Programme and Document  
Repository Business Process and  
Repository Metadata Definition**

<b>Name of lead institution/organisation</b>
<b>List consultants/partners, if any</b>
<b>Full contact details for primary contact</b>  Name: Position: Email: Address:   Tel: Fax:
<b>Length of project</b> Proposed project start and end dates: Total cost to JISC over its life:
<b>Outline proposal description</b>

## Appendix B

### Example Budget for Tenders Submitted by UK HEIs<sup>3</sup>

<b>Directly Incurred Staff</b>	<b>April 10 – July 10</b>	<b>TOTAL £</b>
Post, Grade, No. Hours & % FTE	£	£
Etc.	£	£
Etc.	£	£
<b>Total Directly Incurred Staff (A)</b>	<b>£</b>	<b>£</b>
<b>Non-Staff</b>	<b>April 10 – July 10</b>	<b>TOTAL £</b>
Travel and expenses	£	£
Hardware/software	£	£
Dissemination	£	£
Evaluation	£	£
Other	£	£
<b>Total Directly Incurred Non-Staff (B)</b>	<b>£</b>	<b>£</b>
<b>Directly Incurred Total (A+B=C) (C)</b>	<b>£</b>	<b>£</b>
<b>Directly Allocated</b>	<b>April 10 – July 10</b>	<b>TOTAL £</b>
Staff	£	£
Estates	£	£
Other	£	£
<b>Directly Allocated Total (D)</b>	<b>£</b>	<b>£</b>
<b>Indirect Costs (E)</b>	<b>£</b>	<b>£</b>
<b>Total Project Cost (C+D+E)</b>	<b>£</b>	<b>£</b>
<b>Amount Requested from JISC</b>	<b>£</b>	<b>£</b>
<b>Institutional Contributions</b>	<b>£</b>	<b>£</b>
<b>Percentage Contributions over the life of the project</b>	<b>JISC X %</b>	<b>Total 100%</b>

<sup>3</sup> See overleaf for an explanation of the terms directly incurred, directly allocated and indirect costs.

## Explanation of Terms

All applications from UK HE institutions for development funding from JISC should be costed on the basis of full economic costs (fEC). fEC is the total cost of a project. All applications should be costed on financial year April – March and NOT August – July.

Projects should be costed using the TRAC Research indirect and estates charge-out rates, and TRAC fEC methods for Research. If a project is not classified as Research under annual TRAC the Research charge-out rates should still be used. However, there is no need to amend the denominator or the numerator of the charge-out rate calculations to try to incorporate these projects.

Further guidance on fEC for JISC-funded research and development projects can be found at:

<http://www.jisc.ac.uk/fundingopportunities/bidguide/fulleconomiccosting.aspx>

## Cost Headings

### Directly Incurred

These are costs that are explicitly identifiable as part of the project, are charged at cash value actually spent and can be supported by an audit record. They include:

**Staff** – payroll costs requested for staff, full- or part-time, who will work on the project and whose time can be supported by a full audit trail during the life of the project. Academic-related staff who lead or work directly on a project should be classified as ‘researchers’ when costing the project and should be allocated indirect/estates costs. They should be included in the annual TRAC time allocation collection exercises when those are carried out, and their time on projects should be included in the denominator of the indirect and estates charge-out rate calculations when they are next calculated.

Unless a member of staff will be spending 100% of their time on a project, all estimates of time on a project should be made in numbers of hours or days, for each year of the project. This should then be converted to a FTE for use in calculating the indirect and estate costs charges.

**Travel and Expenses** – funds for travel and subsistence for use by staff who work on the project where these are required by the nature of the work. This should include attendance at programme meetings (two per year) and other relevant meetings dependent upon the project/programme.

**Equipment** – the cost of individual items of hardware or software dedicated to the project, including VAT, e.g. a computer for a newly recruited member of staff for the project.

**Dissemination** – the cost of any dissemination activities proposed for the project.

**Evaluation** – the cost of any formative or summative evaluation activities proposed for the project.

**Other Costs** – costs of other items dedicated to the project, including consumables, recruitment and advertising costs for staff directly employed on the project.

### Directly Allocated

These are the costs of resources used by a project, which are shared by other activities. They are charged to projects on the basis of estimates rather than actual costs and do not represent actual costs on a project-by-project basis. They include:

**Staff** – proposals will need to show the costs of any principal investigators/project directors and any co-investigators/co-directors if their time charged to the project is based on estimates rather than actual costs. This may also include the costs of technical and clerical staff, and if a project is buying a small amount of one or more of a person's time.

**Estates** – these costs may include building and premises costs, basic services and utilities, and any equipment maintenance or operational costs not already included under other cost headings.

**Other Directly Allocated** – these costs may include, for example, access to institutional research facilities such as equipment and IT systems.

#### Indirect Costs

These include non-specific costs charged across all projects based on estimates that are not otherwise included as Directly Allocated costs. They include the costs of administration, such as personnel, finance, library and some departmental services.

NB: Budgets should clarify the FTEs used to calculate the indirect and estates charges, and indicate which staff have been included.

#### **Indexation**

Costings for subsequent years should factor in inflationary increases for salaries and other costs. All costings should be inclusive of any VAT applicable.

#### **Project Partners**

Funding for project partners, e.g. staff time, should be clearly identified in the proposal under the relevant heading. Resources to be provided by project partners, whether cash or in-kind contributions, should also be clearly identified in the proposal.

#### **Justification of Costs**

All costs associated with the project must be fully justified.

#### **Virement**

Directly Incurred Costs can be vired within the overall Directly Incurred budget heading, however, Directly Allocated and Indirect Costs cannot (they do not vary from the estimates made on project application).